

JUL 30 2001

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PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Application Number

09/831,047

Filing Date

May 3, 2001

First Named Inventor

Magdalena Blaszczyk-Thurin

Group Art Unit

Examiner Name

Total Number of Pages in This Submission

7

Attorney Docket Number

WST93AUSA

ENCLOSURES (check all that apply)

- ☐ Fee Transmittal Form
- ☐ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Assignment Papers (for an Application)
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):
- 2 pp. Letter
- 2 pp. Form Pct/Do/EO/905
- 1 Diskette
- 1 copy of postcard

Remarks

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENTFirm
or
Individual name

HOWSON AND HOWSON

Mary E. Bak

Signature

Date

July 25, 2001

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 7-25-01

Typed or printed name

Lynn Brown

Signature

Lynn Brown

Date

July 25, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



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PATENT TRADEMARK OFFICE

JUL 3 8 2001

WST93AUSA

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of) Group Art Unit:
Magdalena Blaszczyk-Thurin *et al*) Examiner:
Appln. No.: 09/831047)
Filed: May 3, 2001)
For: COMPOSITIONS AND METHODS) July 25, 2001
FOR TREATMENT OF CANCER)

Assistant Commissioner for Patents
Washington, DC 20231
Attn: Shelby Vigil, Paralegal

LETTER

Sir:

In response to the Notification to Comply with Requirements for Patent Applications Containing Nucleotide Sequence and/or Amino Acid Sequence Disclosures in the above-identified application, dated June 15, 2001, attached please find:

- (a) the requested diskette, with the Sequence Listing in computer readable format as required by 37 CFR 1.821(e);
- (b) a copy of this Notice; and
- (c) a copy of the USPTO receipt-stamped postcard providing evidence that the diskette was originally filed with the application.

CERTIFICATE UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Assistant Commissioner for Patents, Washington, DC 20231 on July 25, 2001.

Signature: _____

Typed Printed Name: LYNN BROWN

In a telephone conference with Shelby Vigil, Applicant was advised that only the diskette was missing from the materials filed with the application on May 3, 2001.

The substitute computer readable diskette contains the same content as the paper copy of the Sequence Listing filed with the application on May 3, 2001. No new matter is contained on this diskette. Please enter this computer readable diskette into the application file. If further information is needed, the examiner or paralegal is requested to notify the undersigned at 215 540 9206.

The Director is hereby authorized to charge any deficiency or credit any overpayment in any fee due with this paper to our deposit account number 08-3040.

Respectfully submitted,

HOWSON AND HOWSON
Attorneys for Applicant

By Mary E. Bak
Mary E. Bak
Registration No. 31,215
Spring House Corporate Center
Box 457
Spring House, PA 19477
(215) 540-9200



PATENT

Serial No. _____ Doc. No. W57934 Atty: Sec MBS/Lg Date 5-3-01
Inventor Magdalena Bluszczuk-Tam Client W57934
Title Compositions and methods for treatment of cancer

The following has been received in the U.S. Patent and Trademark Office on the date stamped hereon:

- | | | | |
|--|---|---|---|
| <input checked="" type="checkbox"/> <u>3</u> | pp. Spec. <u>775</u> Claims <u>129</u> Abstract | <input type="checkbox"/> pp. Amendment | OA dtd |
| <input checked="" type="checkbox"/> <u>4</u> | pp. Declaration/Power of Attorney | <input type="checkbox"/> pp. Response: OA dtd | |
| <input type="checkbox"/> | pp. Verified Statement (Small Entry) | <input checked="" type="checkbox"/> <u>3</u> | pp. Transmittal letter |
| <input type="checkbox"/> | shts. Informal Drawings | <input type="checkbox"/> | Issue Fee |
| <input checked="" type="checkbox"/> <u>3</u> | shts. Formal Drawings (<u>encl-5</u>) | <input type="checkbox"/> | Notice of Appeal & Fee |
| <input type="checkbox"/> | pp. Assignment | <input checked="" type="checkbox"/> | Check # <u>16536</u> for \$ <u>796.00</u> |
| <input checked="" type="checkbox"/> <u>2</u> | pp. Preliminary Amendment A | <input checked="" type="checkbox"/> | Check # <u>16537</u> for \$ <u>0.18</u> |
| <input type="checkbox"/> | pp. Extension of Time | <input checked="" type="checkbox"/> | <u>3</u> pp. <u>Final</u> and <u>B</u> / <u>attach - Appendix A</u> |
| <input type="checkbox"/> | pp. Information Disclosure Statement | <input checked="" type="checkbox"/> | <u>3</u> pp. <u>Sequence</u> <u>Cost</u> |
| | with PTO-1449 and _____ references | <input checked="" type="checkbox"/> | <u>1</u> <u>35</u> <u>Disclaim</u> |

The Patent and Trademark Office is respectfully requested to place its Stamp on this postal card and place it in the outgoing mail.

Express Mail No.

ET 033649102US

JC17 Rec'd PCT/PTO 03 MAY 2001
MBS

Copies of Request, Demand, Written
Respectfully. OP num, Int'l Prel Exam
HOWSON AND HOWSON

09/831047



UNITED STATES PATENT AND TRADEMARK OFFICE

COPY

Commissioner for Patents, Box PCT
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

JUL 3 3 2001

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/831047	BLASZCZYK-THURIN	M WST93AUSA
INTERNATIONAL APPLICATION NO.		
PCT/US99/26277		
FILED DATE	PRIORITY DATE	
05 NOV 99	06 NOV 98	
DATE MAILED 15 JUN 2001		

HOWSON AND HOWSON
ONE SPRING HOUSE CORPORATION CENTER
BOX 457
321 NORRISTOWN ROAD
SPRING HOUSE, PA 19477

NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

1. The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as ☐ a Designated Office (37 CFR 1.494) ☒ an Elected Office (37 CFR 1.495):

- | | |
|---|---|
| <input checked="" type="checkbox"/> U.S. Basic National Fee. | <input type="checkbox"/> Indication of Small Entity Status. |
| <input checked="" type="checkbox"/> Copy of the international application. | <input type="checkbox"/> Translation of the international application into English. |
| <input checked="" type="checkbox"/> Oath or Declaration of inventors(s). | <input type="checkbox"/> Translation of Article 19 amendments into English. |
| <input type="checkbox"/> Copy of Article 19 amendments. | <input type="checkbox"/> Other: |
| <input type="checkbox"/> Priority Document. | |
| <input type="checkbox"/> The International Preliminary Examination Report in English and its Annexes, if any. | |
| <input type="checkbox"/> Translation of Annexes to the International Preliminary Examination Report into English. | |

ENTERED
DUE 8-15-01

2. ☐ Applicant has requested early processing under 35 U.S.C. 371(f) but has not filed the following indicated items and/or the indicated items in paragraph 3 below. The Basic National Fee and the copy of the international application must be filed prior to 20 or 30 months from the priority date to avoid abandonment.

- ☐ U.S. Basic National Fee. ☐ Copy of the international application.

3. The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- ☐ a. Translation of the application into English. A processing fee will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current translation is defective for the reasons indicated on the attached Notice of Defective Translation.
- ☐ b. Processing fee for providing the translation of the application and/or the Annexes later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(f)).
- ☐ c. Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), properly identifying the application (preferably by the International application number and international filing date). A surcharge will be required if submitted later than the appropriate 20 or 30 months from the priority date.
- ☐ The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) for the reasons indicated on the attached PCT/DO/EO/917.
- ☐ d. Surcharge for providing the oath or declaration later than the appropriate 20 or 30 months from the priority date (37 CFR 1.492(e)).

4. Additional claim fees of \$_____ as a ☐ large entity ☐ small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due (37 CFR 1.492(g)). See attached PTO-875.

5. ☒ Applicant has not submitted the required sequence listing pursuant to 37 CFR 1.821-1.825. See attached PCT/DO/EO/920.

ALL OF THE ITEMS SET FORTH IN 3(a)-3(d), 4 AND 5 ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 22 OR 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

6. If box 3a or 3c is checked, a translation of the Annexes **MUST** be submitted no later than the time period set above or the Annexes will be cancelled. A processing fee will be required if submitted later than 20 or 30 months from the priority date.
7. ☐ The Article 19 amendments are cancelled since a translation was not provided by the appropriate 20 (37 CFR 1.494(d)) or 30 (37 CFR 1.495(d)) months from the priority date.

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

A copy of this notice MUST be returned with this response.

- Enclosed: ☐ PCT/DO/EO/917 ☐ Notice of Defective Translation
☐ PTO-875 ☒ PCT/DO/EO/920

SHELBY VIGIL, PARALEG

FORM PCT/DO/EO/905 (March 2001)

Telephone: 703-305-3653

SUN



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents, Box P-1
United States Patent and Trademark Office
Washington, D.C. 20231
www.uspto.gov

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/831047	BLASZCZYK-THURIN	M WST93AUSA
INTERNATIONAL APPLICATION NO.		
PCT/US99/26277		
FILED DATE	PRIORITY DATE	
05 NOV 99	06 NOV 98	
DATE MAILED		

HOWSON AND HOWSON
ONE SPRING HOUSE CORPORATION CENTER
BOX 457
321 NORRISTOWN ROAD
SPRING HOUSE, PA 19477**NOTIFICATION TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS
CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE
DISCLOSURES**15 JUN 2001
DUE 8-15-01

Applicant has submitted papers under 35 U.S.C. 371 to enter the national stage in the United States of America. The items indicated below, however, are missing. The period within which to correct the deficiency noted below and avoid abandonment is set forth in the accompanying Notification.

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):

- ☐ The application fails to comply with the requirements of 37 CFR 1.821-1.825.
- ☒ This application does not contain, a "Sequence Listing" as a separate part of the disclosure on paper copy or compact disc, as required by 37 CFR 1.821(c).
- ☐ A copy of the "Sequence Listing" in computer readable format has not been submitted as required by 37 CFR 1.821(e).
- ☐ A copy of the "Sequence Listing" in computer readable form has been submitted. The content of the computer readable form, however, does not comply with the requirements of 37 CFR 1.822 and/or 1.832, as indicated on the attached marked-up copy of the "Raw Sequence Listing."
- ☐ The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A substitute computer readable form must be submitted as required by 37 CFR 1.825(d).
- ☐ The paper copy or compact disc of the "Sequence Listing" is not the same as the computer readable form of the "Sequence Listing" as required by 37 CFR 1.821(e).
- ☐ Other: _____

APPLICANT MUST PROVIDE:

- ☐ An initial or substitute computer readable form (CRF) of the "Sequence Listing."
- ☒ An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.
- ☐ A statement that the contents of the paper or compact disc and the computer readable form are the same and, where applicable, include no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b) or 1.825(d).

**FOR QUESTIONS REGARDING COMPLIANCE WITH THESE REQUIREMENTS, PLEASE
CALL:**

(703) 308-4216, for Rules interpretation,
(703) 308-4212, for CRF submission help,
(703) 287-0200, for PatentIn software help.

SHELBY VIGIL, PARALEG
Telephone: 703-305-3653